King County Office of

**INFORMATION RESOURCE
MANAGEMENT**

Project Manager Guide
To
PRB Reviews

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Change Log

Version 2.1 – October 2008 – Gary Tripp – Changed monthly report example.
Version 2.0 – June 2008 – Gary Tripp - Added several standard operating procedures and included revised business case template.

Overview

Purpose

This guide lays out the Project Review Board (PRB) process and the requirements of a project for each PRB review.   For each requirement, typical elements are identified.   To assist project managers, guidelines for typical phases of a technology project and typical deliverables within each of these phases are included in the Appendix.   Project managers are expected to determine the actual phases, sub-phases, and deliverables necessary for project success.[*]

This guide also identifies the requirements of a project for reporting monthly status to enable project monitoring by the central Project Management Office in the Office of Information Resource Management. This document provides descriptions outlining the PRB process for both IT projects and IT Equipment Replacement Plans/Projects.   New and revised tools are incorporated into this guide including activity related to IT projects, IT procurement efforts, and quality assurance reviews.

This is not a project management methodology, a software development lifecycle methodology, or a training guide for project managers. For information on the Project Management methodology approved by the PRB for countywide use on IT projects, see Project Management Methodology, Tools & Templates.

Background

The King County Council created the Office of Information Resource Management (OIRM) with a central Project Management Office (PMO) to oversee projects.   The OIRM and the Chief Information Officer position were established in December, 2000 with the adoption by the King County Council Ordinance # 14005.   A key role and responsibility of the OIRM is to develop guidelines for the management of information technology projects and to monitor project implementation to assure projects stay on track. A Governance Structure was later adopted with a Project Review Board to review projects at phases and release the funds for the next phase.

Project Review Board Process

The Project Review Board was established by Ordinance #14155 in July 2001. The PRB is required to review projects at key phases and release funds for the next phase. Figure 1 is a diagram of the overall PRB process. The project review process begins after budgets have been appropriated by the County Council and continues through project close-out and measurement.   The Project Review Board Governance Guide (linked below) further describes the role and process of the PRB and includes a copy of the Ordinance.   The Chief Information Officer, Assistant County Executive, Budget Director, Department of Executive Services Director are all permanent members of the PRB.

http://kcweb.metrokc.gov/oirm/tools_templates/PRBgovern.doc

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[*] In addition to projects determining the actual phases that correspond with their project, the PRB has recently created a new process to help project managers determine the level of PRB oversight needed during the PRB review process.

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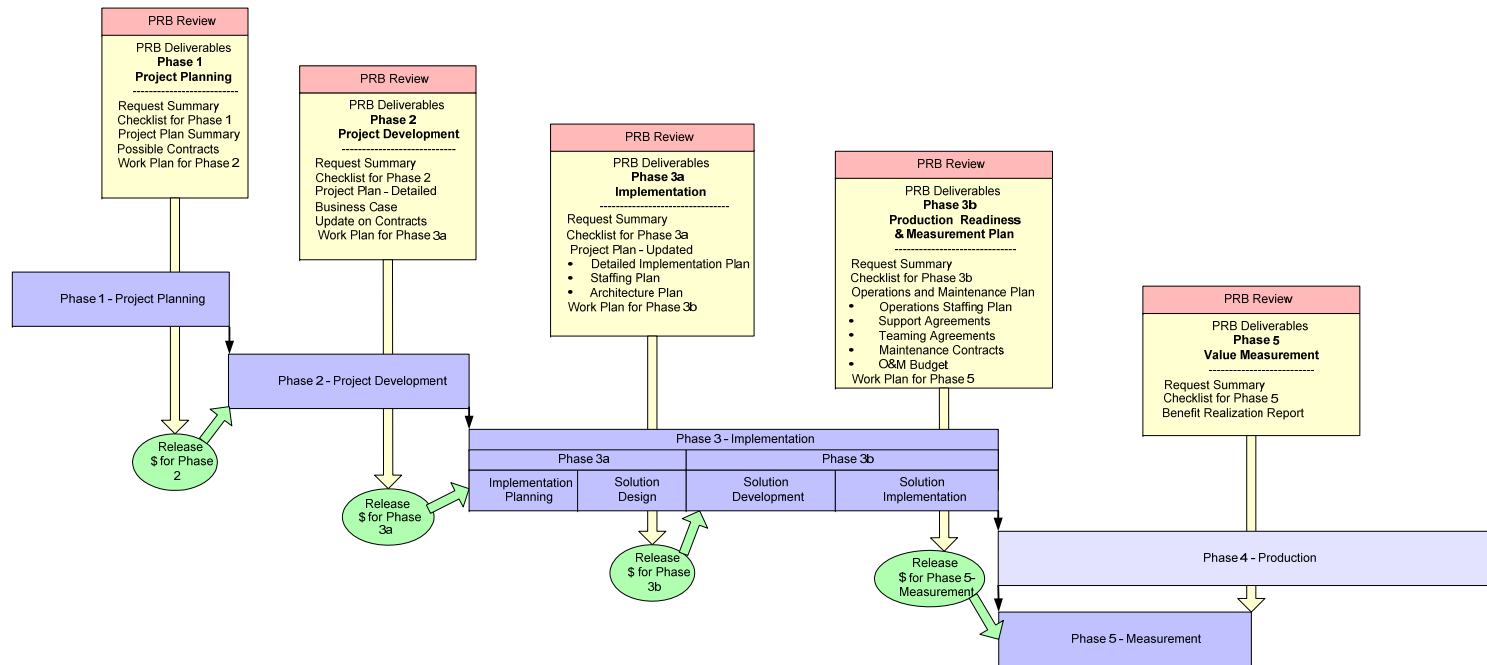King County Office of
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Figure 1 - Project Review Board (PRB) Process

PRB Review Process Description

The PRB requires project reviews at five standard points in a typical project:[*]

> Project Inception
> Phase 1 Review – Project Planning
> Phase 2 Review – Project Development
> Phase 3a Review – Implementation Plan
> Phase 3b Review – Production Readiness and Measurement Plan
> Project Close-out
> Phase 5 review - Measurement

The exact phases of a project will depend on the nature of the problem the project is addressing, but the project is expected to align its process with the standard PRB reviews. IT Equipment Replacement Plans/Projects and Low Oversight/Threshold projects have separate processes with different funding release and phase requirements further defined later in this document.

More detailed instructions for scheduling a request for funding release is located in Appendix A.

Funding Release Request

As technology projects follow the Project Review Board Process of five distinct phases, there are four points where a Release of Funds decision is required (as shown in Figure 1). Each technology project, regardless of funding source, including grant and operations funded projects, and project costs (no threshold), is required to follow the PRB Process for Funding Releases and Project Monthly Monitoring. This means that all funds including capital, grant and operating funds need to be requested for release by the PRB.

Once the project manager and the OIRM-PMO have discussed the need for a funding release, the request for Release of Funds is scheduled as an agenda item for a future PRB meeting. The project manager then prepares the package of information required for the PRB meeting. The Project Review Board will move to make a decision on whether to release funds for the next phase of the project. The board members present will vote on approval/disapproval or conditional approval. The last review measures the value that the county has received during the first year of operation after completion of the project.

Contingency release approvals will be determined by the CIO on behalf of the Project Review Board. If the CIO determines that a project has exceptions to releasing funds for contingency, it will be scheduled for a review by the Project Review Board. Otherwise the CIO will approve on behalf of the PRB and it will not require scheduling agencies into PRB meetings. If project contingency is needed, then PRB briefings are required and the PRB needs to approve.

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[*] A typical IT project is a major one-time effort to plan, develop, and/or implement a data processing, telecommunications, or other technology related operation with the intent to improve the efficiency of the requesting department or to provide new or enhanced services to the public and are required to participate in the 5 phase PRB Review Process. IT Equipment Replacement Project and IT projects with a low project oversight threshold are considered different and undergo a less rigorous PRB review than a typical 5 phase IT project.

PRB Project Thresholds - PRB Oversight Rating for IT Projects

As stated above, a typical project is required to have five standard reviews with the Project Review Board. Occasionally, projects do not need a review as rigorous in nature due to size, budget, and/or project management experience. Therefore, the Project Review Board has developed and approved a method for agencies to complete a self-rating form (Appendix B) that identifies what level of oversight is recommended to the PRB. This form is completed by agencies for new and existing IT projects to determine their risk rating. This is reviewed by the board and an oversight level is assigned to the IT project.

The department director is required to sign the self-rating form. The CIO will review the self-rating form to resolve any questions or concerns related to the level of oversight for the project, and make a list of recommendations for the PRB members to approve.

Submission of Documents for PRB Review

At each PRB review and funding release the PRB requires a set of deliverables. The reviews will normally be scheduled toward the end of a phase to give the project time to prepare all the PRB required deliverables. The project may still have other work to accomplish before completing the phase, but the deliverables required by the PRB must be complete and available prior to the project's PRB review meeting. It is assumed that the project has gone through a departmental or project steering committee review process before coming to the PRB.

At least nine work days prior to the scheduled PRB review, all required PRB documents and a signed checklist of these documents should be delivered by the project manager to the Office of Information Resource Management's central PRB Staff. These documents will be reviewed by the PRB Staff for completeness and the project summaries distributed to members of the PRB prior to the scheduled PRB review. If required documents are missing, the PRB Staff will cancel the PRB review and work with the project manager to obtain all the required documents and reschedule the review at a later time.

Project Review Board Deliverable Requirements

Project Inception – Appropriations for New Projects: Annual Budget Process and Mid-year IT Project Requests

Typically, new projects are requested by King County agencies during the annual budget proposal process, which includes completion of a Preliminary Business Case and Cost Benefit Worksheet, Chief Information Officer Recommendations, and Office of Management and Budget approval between the months of June and October.

When projects are requested at times other than during the annual budget, a similar process is followed on a project-by-project basis. The agency completes a Preliminary Business Case and Cost Benefit Worksheet and then forwards it to the Office of Information Resource Management and Office of Management & Budget for review and recommendation prior to requesting supplemental appropriations. The Preliminary Business Case and Cost Benefit Worksheet are provided in Appendix C as a supplement to this guide.

The PRB Process depicted below starts after appropriation authority has been granted through the Executive and King County Council.

Phase 1 PRB Review Requirements – Project Planning

High-level initial planning of the project is done during Phase 1. It is typically conducted with non-project funds before the project team is formed and project activities begin. It may be conducted with project funds if available.
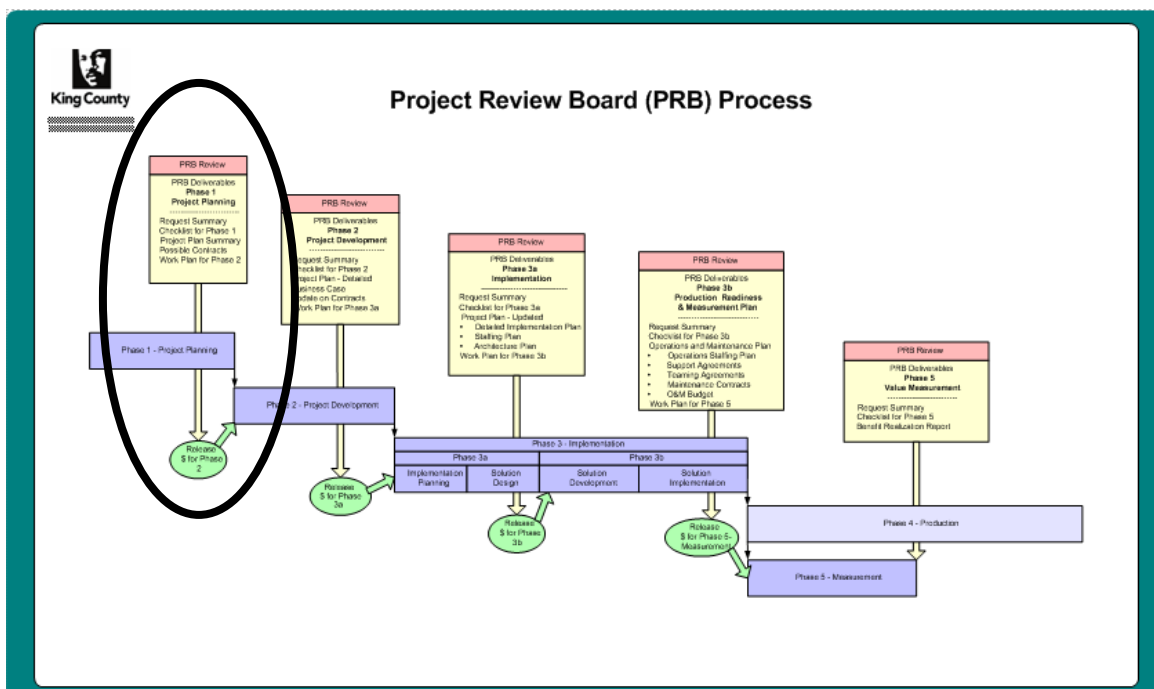
There are five required deliverables for the Phase 1 PRB Review:

- ☑ Request for Funding Release Summary
- ☑ Checklist of Phase 1 PRB Required Deliverables
- ☑ Project Plan (Summary Version)
- ☑ Possible Contract List
- ☑ Work Plan for Phase 2

Below, the requirements are identified for each Phase 1 required PRB deliverable.

A. Request for Funding Release Summary

Requirements:

A. Provides project background, progress, and funding release amounts requested. Some sections are filled in by PRB staff based on other submitted documents

B. Checklist of Phase 1 PRB Required Deliverables

Requirements:

A. List of the deliverables required for this PRB review, with check marks identifying the ones being submitted for review [Appendix A]

C. Project Plan (Summary Version)

Requirements:

A. Brief description of how the project will be managed

B. High-level overview of the project scope

C. Summary schedule for the entire project

D. Summary-level budget for the entire project

E. High level risk assessment

D. Possible Contract List

Requirements:

A. List of contracts the project may need to develop during the project

E. Work Plan for Phase 2 – Project Development

Requirements:

A. One page summary describing the work of the next phase

B. Detailed project schedule for the next phase

C. Detailed budget for the next phase

Suggestions for typical information project managers may wish to cover under these requirements are included in Appendix D.

Phase 2 PRB Review Requirements – Project Development

Phase 2 is *project* development, **not** product development or system development. This is typically when business issues and requirements are documented, and alternative solutions are analyzed and selected. Phase 2 is funded with the funds released by the PRB after the Phase 1 review.
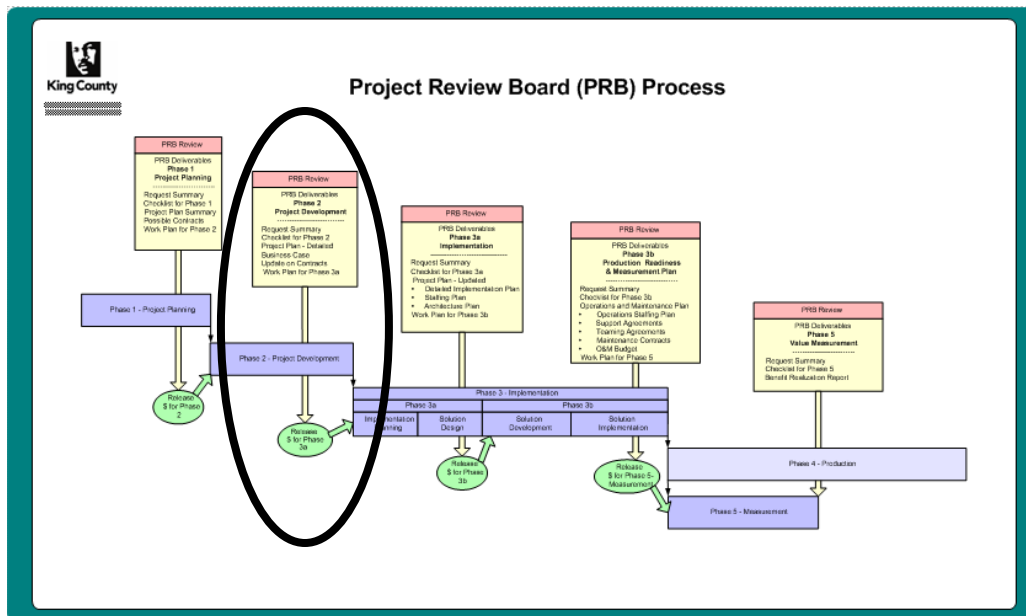
There are six required deliverables for the Phase 2 PRB Review:

- ☑ Request for Funding Release Summary
- ☑ Checklist of Phase 2 PRB Required Deliverables
- ☑ Project Plan (Detailed Version)
- ☑ Business Case and Cost Benefit Analysis
- ☑ Updated Contract List
- ☑ Work Plan for Phase 3a – Implementation Planning and Solution Design

Below, the requirements are identified for each Phase 2 required PRB deliverable.

A. Request for Funding Release Summary

Requirements:

A. Provides project background, progress, and funding release amounts requested. Some sections are filled in by PRB staff based on other submitted documents

B. Checklist of Phase 2 PRB Required Deliverables

Requirements:

A. List of the deliverables required for this PRB review, with check marks identifying the ones being submitted for review [Appendix A]

C. Project Plan (Detailed Version)

Requirements:

A. Detailed description of how the project will be managed

B. Detailed description of the project scope

C. Schedule for the entire project

D. Budget for the entire project

D. Business Case with Cost Benefit Analysis

Requirements

A. One page summary describing the business reasons for this project and its anticipated costs and benefits

B. Detailed information documenting the business needs driving this project

C. Detailed description of the project's objectives

D. Summarize alternative solutions, include reasons for recommending a preferred solution

E. Detailed information documenting the quantifiable costs and benefits of the project and resulting product or service

F. Detailed information documenting the quantifiable benefits to the public

G. Detailed information documenting the non-quantifiable benefits of the product or service

H. Cost benefit Analysis Worksheet

E. Updated Contract List

Requirements:

A. Updated list and description of contracts the project will need to develop and existing contracts being used or will be used for project implementation

**F. Work Plan for Phase 3a - Implementation Planning & Solution Design**

Requirements:

A. One page summary describing the work of the next phase

B. Detailed project schedule for the next phase

C. Detailed budget for the next phase

Suggestions for typical information project managers may wish to cover under these requirements are included in Appendix D.

Phase 3a PRB Review Requirements – Implementation Plan and Solution Design

The PRB's Phase 3 review focuses on implementation planning which is done at the beginning of the project's third phase called Implementation (Phase 3a). Phase 3a is typically when the project's implementation is planned in detail and the solution's design is developed. The work for Phase 3a is funded with the funds released by the PRB after the Phase 2 review.

The Project Review Board may approve exception to the generally required four funding releases when the project plans justify combining Phases 3a and 3b into a single funding release request. The approval is conditional on the project providing:

- Well-defined checkpoints [reviewed, approved by project sponsor and steering committees] for PRB briefings.
- A briefing to the PRB on the results of the production readiness review approved by the steering committee.
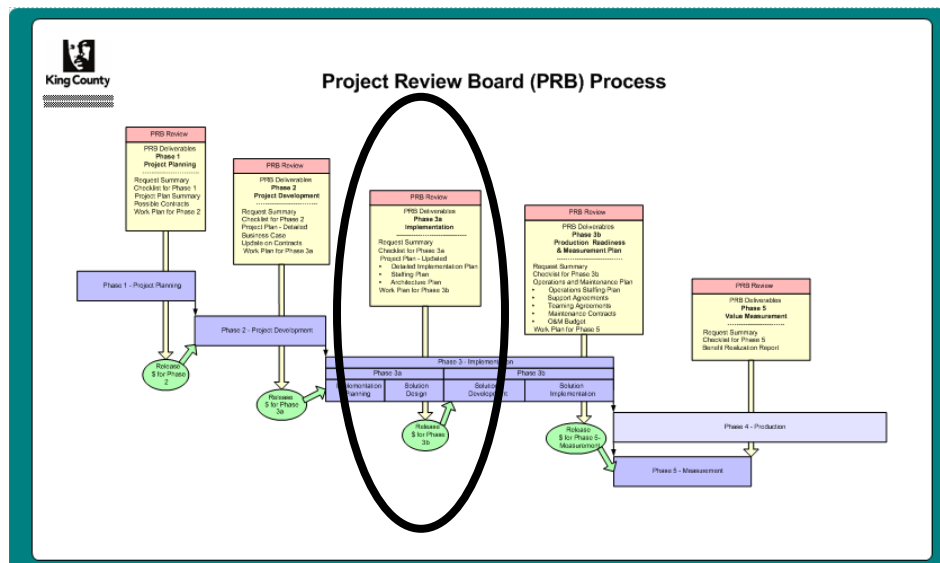
There are seven required deliverables for the Phase 3a PRB Review:

- ☑ Request for Funding Release Summary
- ☑ Checklist of Phase 3a PRB Required Deliverables
- ☑ Updated Project Plan
- ☑ Detailed Implementation Plan
- ☑ Staffing Plan
- ☑ Architecture Plan
- ☑ Work Plan for Phase 3b – Solution Development and Implementation

Below, the requirements are identified for each Phase 3a required PRB deliverable.

A. **Request for Funding Release Summary**

Requirements:

A. Provides project background, progress, and funding release amounts requested. Some sections are filled in by PRB staff based on other submitted documents

B. **Checklist of Phase 3 PRB Required Deliverables**

Requirements:

A. List of the deliverables required for this PRB review, with check marks identifying the ones being submitted for review [Appendix A]

C. **Project Plan**

Each of the following components of the project plan is a required PRB deliverable:

Requirements:

A. Detailed description of how the project will be managed

B. Detailed description of the project scope

C. Schedule for the entire project

D. Budget for the entire project

D. **Detailed Implementation Plan**

Requirements:

E. Detailed information documenting the project's implementation plan

E. **Staffing Plan**

Requirements:

F. Detailed information documenting the project's staffing plan

F. **Architecture Plan**

Requirements:

G. Detailed description of the applications architecture

H. Detailed description of the database architecture

I. Detailed description of the platform architecture

J. Detailed description of the network architecture

K. Detailed description of all new technologies the project will utilize

G. **Work Plan for Phase 3b - Solution Development and Implementation**

Requirements:

A. One page summary describing the work of the next phase

    B.   Detailed project schedule for the next phase

    C.   Detailed budget for the next phase

Suggestions for typical information project managers may wish to cover under these requirements are included in Appendix D.

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Project Manager Guide to PRB Reviews
Typical Elements of Phased PRB Deliverables

Phase 3b PRB Review Requirements – Production Readiness & Measurement Plan

The Phase 3b PRB Review covers work done in the second half of the project's Implementation phase (Phase 3b). Phase 3b is when the solution is developed, tested, and implemented. Plans are developed for operations and maintenance of the production environment, and for how value derived from this project will be measured in the future. Phase 3b is funded with the funds released by the PRB after the Phase 3a PRB Review.
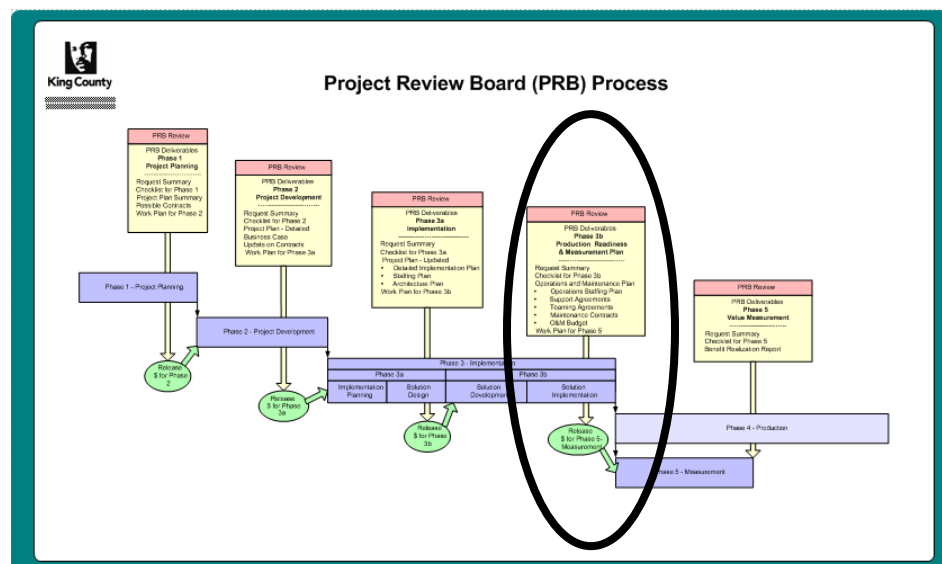
There are four required deliverables for the Phase 3b PRB Review:

☑ Request for Funding Release Summary
☑ Checklist of Phase 3b PRB Required Deliverables
☑ Operations and Maintenance Plan
  ➢ Operations Staffing Plan
  ➢ Support Agreements
  ➢ Teaming Agreements
  ➢ Maintenance Contracts
  ➢ Operations and Maintenance Budget
☑ Work Plan for Phase 5

Below, the requirements are identified for each Phase 3b required PRB deliverable.

A. Request for Funding Release Summary

Requirements:

    A. Provides project background, progress, and funding release amounts requested. Some sections are filled in by PRB staff based on other submitted documents

B. Checklist of Phase 3b PRB Required Deliverables

Requirements:

    A. List of the deliverables required for this PRB review, with check marks identifying the ones being submitted for review [Appendix A]

C. Operations and Maintenance Plan

Each of the following components of the operations and maintenance plan is a required PRB deliverable:

    2.1 Operations Staffing Plan
    2.2 Support Agreements
    2.3 Teaming Agreements
    2.4 Maintenance Contracts
    2.5 Operations and Maintenance Budget

Requirements:

    A. Detailed description of the operational environment
    B. Detailed information documenting the operations staffing plan
    C. Documentation of support agreements for business and systems support
    D. Documentation of teaming agreements for cross-agency business support
    E. Documentation of maintenance contracts with vendors
    F. Detailed operations and maintenance budget

D. Work Plan for Phase 5 - Measurement

Requirements:

    A. One page summary describing the work of the next phase to develop quantitative measures and to measure value achieved by the project
    B. Detailed project schedule for the next phase
    C. Detailed budget for the next phase

Suggestions for typical information project managers may wish to cover under these requirements are included in Appendix D.

Project Close-Out

When an information technology project is completed, the project manager notifies the board by noting the project is completed with completion date on the Project Monthly Monitoring Checklist. At this point, no further monthly monitoring is required.

☑ The approved procedures and forms for Project Close-Out are located in Appendix E of this document. The project close-out report is submitted to the PRB within one month of the final monthly monitoring status report. The PRB will use the report for review during the Phase 5 review meeting.

There required deliverable for the Project Close-out is:

☑ Project Close-out Report

1. Project Close-out Report

Requirements:

A. Documentation of the project description, results, variance and a summary explanation of what the project accomplished – highlighting relevant project scope, schedule, and budget information from the close-out documentation. Also includes benefits measurements, lessons learned, records retention, and deliverables turnover.

Phase 5 PRB Review Requirements – Value Measurement

The Phase 5 PRB Review is when the value received from implementing the project's product or service is evaluated and compared to the value projected in the business case. The Project Review Board will conduct this review with measurements identified and reported by the project manager or agency representative.
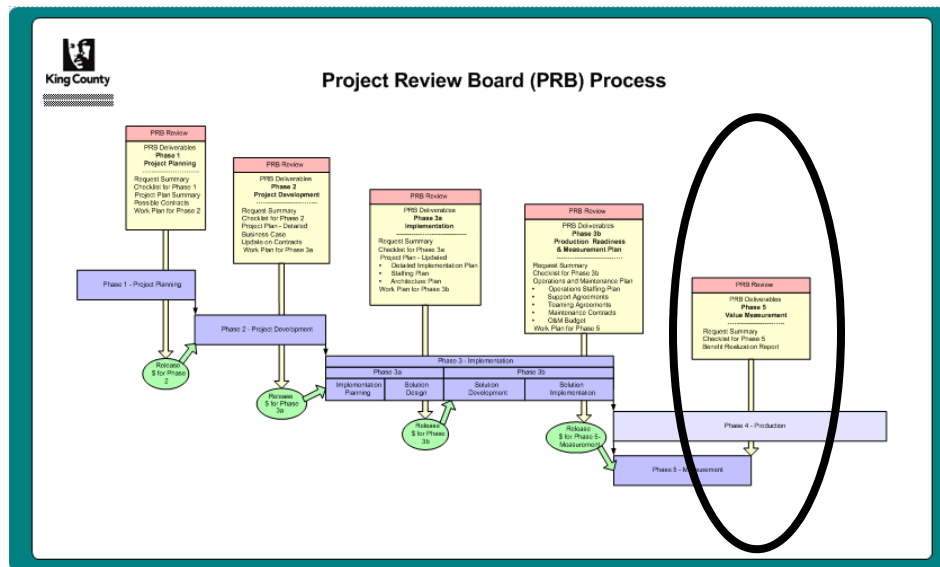
The required deliverables for the Phase 5 Review are:

A. Benefit Realization Report

> ➢ This plan identifies the value received after (or within) one year of operation and compares it to the value projected by the Business Case.
>> • Did the project provide quantifiable value to the county or to the public?
>> • Did the project provide non-quantifiable benefits to the county or to the public?
>> • Did the project provide benefits comparable to those projected by the Business Case?

IT Equipment Replacement Plans/Projects

In December 2003, the Project Review Board agreed that each IT equipment replacement plan is required to follow the PRB Process for funding releases. However, due to the unique aspects of IT equipment plans/projects the PRB developed a separate funding release process for approving agency IT equipment spending. Each agency is expected to set up and maintain an IT equipment replacement plan. The plan provides support for managing assets and for planning to set aside funds to replace or procure IT equipment as part of the budget process.

The following is a list of the procedures used to complete the review and approval of agency IT equipment replacement funding release requests through the Project Review Board (PRB). IT Equipment Replacement funding release forms and procedures documentation are located in Appendix F of this document.

There are two required deliverables for IT Equipment Replacement Plans/Projects:

- ☑ IT Equipment Replacement Funding Release Form
- ☑ IT Equipment Replacement Plan

1. IT Equipment Replacement Funding Release Form

Requirements:

A. A completed IT Equipment Replacement Funding Release Form to request a funding release from the Project Review Board with department director approval and signature.

2. IT Equipment Replacement Plan

Requirements:

A. Each agency is expected to set up and maintain an IT equipment replacement plan. The plan provides support for managing assets and for planning to set aside funds to replace or procure IT equipment as part of the budget process.

The completed funding release form is reviewed and approved by the CIO on behalf of the PRB.

Project Monthly Monitoring Report

Projects will be monitored by the Office of Information Resource Management's Project Management Office. Project managers are required to complete a monthly monitoring report with department director approval without designation for each active information technology project. (An email certification from the department director is acceptable in lieu of the director's signature.) The monthly monitoring report is sent to the OIRM-Project Management Office the first working day of each month.

The PRB will send a reminder letter to request the timely completion of the monthly report to the appropriate Business Management Council member with a copy to the project manager whenever a project has not provided a Monthly Monitoring Report for two or more months.

Project Status

<u>Requirements:</u>

A. Documentation of project progress, including changes to scope, schedule and budget issues

B. Documentation of changes in risk and issues impacting the project

Requirements For Completing the Monthly Monitoring Checklist	Suggested Information Project Managers May Wish to Cover under the Requirement
Scope, Schedule & Budget	- Brief description of changes to scope, schedule or budget. - If project contingency is needed: Contingency release approvals will be determined by the CIO on behalf of the Project Review Board. - Explain if additional appropriation is needed. - When project is complete, provide completion date on the schedule line.
Risks & Issues	Brief description of any high priority outstanding issues or risks, if they have high likelihood of impacting the scope, schedule or budget of the project.
Financial Information	- Life-to-Date Appropriated Budget - Including all appropriated funds (capital, grant, operating and contingency - Life-to-Date Expenditures - Amounts Committed/Obligated - Budget Remaining on the Project - Appropriated Budget – Expenditures – Unused Contingency - Estimated Amount to Complete Project
Schedule Information	- Approved start and complete date - Actual start and projected complete date

Appendix G. includes procedures and the Project Monthly Monitoring Report form.

Project Quality Assurance

The Project Review Board decided, in its February 19, 2003 meeting, that it would "direct Quality Assurance Reviews and Project Audits on information technology projects on an as-needed basis. Funding for this activity will come from project contingency budgets." IT Project Quality Management is composed of 1) Project Oversight and 2) Quality Assurance. The Project Oversight assesses project management practices and the Quality Assurance assesses the quality of deliverables and quality specifics of the current project phase.

Triggers for PRB to Initiate a QA Review

- The project has self-rated itself yellow, and is having trouble developing a suitable corrective action plan.
- The project has self-rated itself red.
- The project exhibits one or more of the following project warning signs:
    - Lack of evidence of good project management
    - Critical milestone is missed, or is going to be missed
    - Budget is being spent faster than projected
    - Project scope is changing
    - High priority, critical issues are not being resolved
    - Project has no risks identified

Additionally, through a competitive bid process, OIRM has created a pool of external consultants with proven track records in the public and private sectors and has entered into master contracts with these consultants for the purpose of assisting projects toward a successful completion. King County agencies may use these experts without going through a separate competitive procurement process, saving considerable time and money. All costs for external consultants are paid by the requesting agency.

The PRB developed Quality Assurance Methodologies overview is in Appendix H, along with a Project Warning Signs checklist tool.

Appendix A. Checklist of Required Deliverable for PRB Reviews

The following is a list of the procedures to use when requesting an information technology project Funding Release through the Project Review Board.

What triggers this process?

As technology projects follow the Project Review Board Process of five distinct phases, there are four points where a Release of Funds decision is required. Once the project manager and the PRB Staff have discussed the need for a funding release, the request for Release of Funds is scheduled as an agenda item for a future PRB meeting.

Steps to PRB Release of Funds Reviews

The project manager prepares the package of information required for the PRB meeting.
This includes the following documents which are sent electronically to the PRB Staff two weeks prior to the PRB meeting (PRB Meeting Schedule):

- ✓ A draft of the Presentation Template for the project, including a brief summary with the project description, amount being requested, an explanation of what the requested amount will be used for - highlighting relevant project schedule information from the deliverables documents, and project status including what's been accomplished to date.

- ✓ A completed form of the Checklist of Required Deliverables for PRB Reviews that includes signatures of the project manager, project sponsor/steering committee and the department director.

- ✓ Tools & Templates - for PRB phased funding releases provides information about the additional documentation required for funding releases for each specific project phase.

The PRB Staff will confirm the agenda items for the scheduled PRB meeting with all those who will be presenters at the meeting.

The PRB staff will work with the agency staff to finalize the Presentation Template for PRB packets.

The project manager and other pertinent staff prepare to present their request to the PRB and answer questions for release of project funds at the PRB meeting.

The Project Review Board will move to make a decision on whether to release funds for the next phase of the project. The board members present will vote on approval/disapproval or conditional approval. There must be a quorum of two board members to vote.

Checklist of Required Deliverables for PRB Reviews

This checklist is a table of contents for the deliverables required for the Project Review Board to approve a release of funds for this project. The signatures confirm the deliverables documentation has been reviewed and is complete.

Project Name   **Agency**

Project Manager Signature   **Telephone**

Project Sponsor/Steering Committee/Oversight Committee Signature   **Date**

Department Director Signature   **Date**

Phase	Deliverable	Complete and Reviewed (please indicate yes or no)	Amount Requested (by Phase)
Phase I - Project Planning Review			
	Project Plan Summary		
	Possible Contract List		
	Work Plan for **Phase II**		$
Phase II – Project Development Review			
	Business Case		
	Project Plan		
	Updated Contract List		
	Work Plan for **Phase IIIa**		$
Phase IIIa – Implementation Planning Review			
	Updated Project Plan		
	Detailed Implementation Plan		
	Staffing Plan		
	Architecture Plan		
	Work Plan for **Phase IIIb**		$
Phase IIIb – Production Readiness & Measurement Plan Review			
	Operations Staffing Plan		
	Support Agreements		
	Teaming Agreements		
	Maintenance Contracts		
	Operations and Maintenance Budget		
	Operations & Maintenance Plan (**Phase IV**)		$
	Work Plan for Phase V		

Phase V – Value Measurement Review			
	Value Received		
Phase	**Deliverable**	***Complete and Reviewed*** (please indicate yes or no)	**Amount Requested** (by Phase)
Mid-year Project Request			
	Business Case (budget submittal details)		
	Cost benefit worksheet		$

Appendix B. Project Oversight Rating Instructions

These are instructions for completing a rating form used to assess the risk of IT projects. The four factors used to determine project risk rating are:

1) Project size   *3) Team experience*
2) Project manager experience   *4) Project type*

To complete the Self-Rating form, determine the rating for each project evaluation factor.

HIGH = 3   **MEDIUM = 2**   **LOW = 1**

Factor 1: Project Size

This factor rates the project on size, primarily based upon one time cost estimates and secondarily, upon project duration.

Step 1: Rate the project by estimated one-time costs as follows:

Estimated one-time Costs	Rating
Greater than $500,000	High
$50,000 to $500,000	Medium
Under $50,000	Low

Step 2: Adjust low and medium ratings in the above upward by one rating level if the estimated time period from project approval to "go live" is greater than twelve (12) months.

Factor 2: Project Manager Experience

This factor rates the risk based on the project manager's experience on similar efforts.

Project Manager	Rating
Has not completed a like project in a project manager role.	High
Has successfully completed one like project in a project manager role.	Medium
Has successfully completed two or more like projects in a project manager role.	Low

Factor 3: Team Experience

This factor rates the risk based on the experience of the project team key staff. The project team consists of all project staff reporting to the project manager, including contractor staff, if applicable.

Step 1: Evaluate the experience of each key staff member, including contractor staff, for completion of like projects in key roles.

Like Projects Completed by at Least 75% of Key Staff	Rating
None	High
One	Medium
Two or more	Low

Factor 4: Project Type

This factor rates the technical complexity of the work being undertaken.

Technical complexity is only appropriate for projects that deliver a solution which impacts the current technical environment through new hardware and /or software. Solution Delivery projects should utilize the table below by performing steps 1 and 2 for table A.

For IT projects that don't impact the technical environment, please use the LOW or 1 rating factor. [Examples of projects that don't impact the technical environment include Plan/Document Delivery projects and Process Improvement projects]

Step 1: Using Table A below, "Elements of Project Type," circle the rating for each applicable element.

Step 2: Assign the rating for this factor based upon the highest rating from among all of the elements circled in Step 1.

Table A: Elements of Project Type

Component	Activity Category	Affected Element	Rating
Hardware	New Install	Local Desktop / Server	Low
		Distributed / Enterprise Server	Medium
	Update / Upgrade	Local Desktop / Server	Low
		Distributed / Enterprise Server	Low
	Infrastructure	Local Network / Cabling	Low
		Distributed Network	Medium
		Data center / Network Operations Center/Wireless/Radio	High
Software	Custom Development	Local Desktop / Server	Low
		Distributed / Enterprise Server	High
	COTS Installation (new)	Local Desktop / Server	Low
		Distributed / Enterprise Server	High
	Custom Update / Upgrade	Local Desktop / Server	Low
		Distributed / Enterprise Server	High
	COTS Update / Upgrade	Local Desktop / Server	Low
		Distributed / Enterprise Server	Medium
	Infrastructure	Middleware	Medium
		Layered Product	Medium
		DBMS	Medium
Non-technical	N/A	N/A	Low

Computation of the Overall Project Rating

After determining the rating for each evaluation factor, add the total ratings for factors 1-4, and divide by 4. The score will fall into one of two levels:
- Level 1 – Project is subject to a single funding release and to provide monthly monitoring status.
- Level 2 – Project is subject to phased funding releases as defined by the Project Review Board Process and to provide monthly monitoring status – this is the full oversight monitoring process.

All IT projects in PRB oversight, regardless of their risk level, will need to request funding release from the PRB.

Project Oversight Rating Form

Project Name: _____   Project Duration**:** _____

Brief Project Description: _____

Department: _____ **Director Signature:** _____

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1. Project Size:

Estimated one-time costs*	Rating	Score
$		

Adjusted up a rating for projects longer than 12 months

2. Project Manager Experience:

Project Manager	Rating	Score
Name:		

3. Team Experience:

Key Project Staff	Rating	Score
Names:		

4. Project Type:

Component	Activity Category	Rating	Score
Hardware	New Install		
	Update/ Upgrade		
	Infrastructure		
Software	Custom Development		
	COTS Installation (new)		
	Custom Update/Upgrade		
	COTS Update/Upgrade		
	Infrastructure		
Non-technical	N/A		

Compute Project Score:

Total Rating =	

Add the total ratings for #1-4

FINAL Rating =	

Divide Total Rating by four (4)

Assign Level to Final Rating:

Final Rating	Level
2.01 – 3.0	2 – phased funding releases
1.0 – 2.0	1 – single funding release / monthly monitoring status reports

The project Review Board may raise the rating of project oversight based on additional factors such as past project performance by the sponsoring department or substantial risks identified with the project.

Appendix C. 2006 Budget - Preliminary <u>Business Case</u> and <u>Cost Benefit Worksheet</u>

Information Technology Business Case

Cover Page 1 of 2

Project Title:	
Project Subtitle:	
Project Number: (If Existing Project)	
Date of Submittal:	
Agency/Department:	
Business Sponsor:	
Prepared By:	

Project Primary Benefit Alignment: **[<u>Reference: KC IT Goal Definitions</u>]**

	Accountability/Transparency	Customer Service/Access	Efficiency	Risk Management
Check one only	☐	☐	☐	☐

Business Outcomes: *(Check all that apply)*

Efficiency	☐	Offers a positive return on investment (ROI)
	☐	Improves productivity and/or reduces future expenditures
Public Access & Customer Service	☐	Improves accessibility of public records
	☐	Improves accessibility to county services, resources, and/or officials
	☐	Improves the quality and/or usability of internal and/or external county services
Transparency and Accountability for Decisions	☐	Makes decisions and decision-related materials more easily available
	☐	Supports ability to track long-term outcomes
	☐	Supports visibility into the decision process
	☐	Supports input and feedback related to countywide decisions
Risk Management	☐	Intended to improve security and provide legally mandated services and basic operations support
Other	☐	Fulfill regulatory requirements
	☐	Provide tactical agency operational improvements
	☐	

Technical Outcomes: *(Check all that apply)*

Increases architectural	☐	Utilizes open standards
	☐	Employs web-based technologies
	☐	Utilizes commercial off the shelf software

flexibility	☐	Leverages and/or extends integration architecture
Improves data management	☐	Increases data security
	☐	Increases data privacy
	☐	Improves data accuracy
	☐	Reduces data redundancy
Improves technology operations	☐	Enhances system reliability
	☐	Consolidates hardware/software
	☐	Standardizes or streamlines existing operations
Other	☐	

Project Type: *(Will Help Determine PRB Review Plan)*

	Implementation	Business Case/Study/Plan	IT Equipment Replacement
Check One Only	☐	☐	☐

Cover Page 2 of 2

Project Phase: (<u>Underline project phase applicable to this submittal</u>)

Budget Request:

☐ **Conceptual Review - Provide a concise, informative, high level summary for sections 1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, and 2.0. Conceptual review summaries should be <u>1-3 pages only.</u>**

☐ **Formal Budget Request**

Project Review Board Business Case Deliverables

☐ **Phase II - PRB Business Case Presentation**
  o **Update for any major changes to scope, schedule, and budget if significantly different from the Budget Request Business Case.**
  o **OMB and agency to confirm baseline (current)/ target measurements and identify and plan for future budget actions prior to PRB review.**
☐ **Other (Describe Phase as applicable)**
  o **Update for any major changes to scope, schedule, and budget if significantly different in order to inform or respond to PRB request.**

Change Summary from previous submittals of Business Case:

1) Describe any important or significant changes to project scope, schedule, and budget from previous version of business case submittal.

2) Describe any important or significant changes to expected benefits or ongoing O&M costs and other operational impacts from previous version of business case submittal.

Executive Summary ©
A brief Executive Summary is required.

Executive summaries will form the basis for, and be included in, the county-wide proposed Technology Business Plan submitted with the Executive Proposed Budget.

The executive summary should briefly describe the essence of the problem statement, recommendations, expected outcomes, and risks. Also a very high level statement of project cost, financial benefits, and O&M costs should be included. (Do not cut and paste extensive cost detail from section 2.0 in the executive summary)

Problem Statement/Vision and Goals ©
The problem statement clearly defines the problem, need, or opportunity. A well-defined problem statement will define and shape the rest of your business case.
Vision statement: "How will things be different when this problem is solved?
[Reference: "Making Smart IT Choices" – Page 36]

Overview / Background ©
Provide helpful background and historical information regarding the IT initiative.

Constraints, Criteria, Dependencies & Other Issues ©
List assumptions concerning functionality or conditions of the IT project that are certain or fixed. Include assumptions on budget, schedule, quality, interfaces with existing technology, training, support levels, and legal requirements.

Discuss major challenges and contingencies for implementing the IT initiative (i.e. staffing, training) and how to address them.

Specific Business Objectives ©
Correlate project goals to the Strategic Technology Goals, IT Guiding Principles, and your department Strategic Business Plan. Indicate if your department has a strategic technology plan and how this project correlates with it.

Express project goals in specific terms that people will understand.

Projects should tie to specific business objectives that the business case can support convincingly. The project should have a measurable positive impact on these stated objectives.

[Reference: Strategic Technology Plan – Page 38]
[Reference: Strategic Technology Plan - IT Guiding Principles]

Project Risks ©

Maintain a statement of risks associated with the implementation of the project. Include risk mitigation methods and plans, key dates, and responsibilities.

Important Note: Risks and other impacts to existing process, customers, employees, and technology infrastructure resulting from doing or NOT doing this project should be described in section 1.5.
[Reference: "Making Smart IT Choices" – Page 42]

The PRB has approved the Technology Qualification Report guidelines and tools developed by the Information Technology Project Management Program for countywide utilization on all IT projects.
[Reference: TQR Guidelines –Risk Assessment Page 5]
[Reference: TQR Risks Checklist]
[Reference: TQR Toolkit]

Plan of Work, Approach, Timeline ©, Key Milestones ©

Discuss project approach and tasks that will be performed in order to accomplish stated goals. Timelines are an effective way to demonstrate an overview of project requirements and the associated time estimates for key project tasks and milestones. Ensure that work plans include tasks and milestones for technical components as well as business components.
[Reference: "Making Smart IT Choices" – Page 43]

Benefits and Other Impacts ©

The primary reason for a business case is to explain how your IT project will benefit and improve the organization. This section addresses the fundamental questions of what are the specific benefits of implementing the proposed IT action and how they *relate to the stated business objectives*. The supporting models, tables, graphs, expert statements, and analysis should be developed based on the unique needs of your proposal. They must be factual and credible in order to be convincing. This section should also describe other impacts and potential consequences of implementing the IT initiative.

A centerpiece of the business case is the financial model. A summary of this analysis should be presented in the business case text. Supporting analysis spreadsheets should be provided as an appendix.
[Reference: "Making Smart IT Choices" – Page 40]
[Reference: TQR Guidelines – Impact analysis and Cost/Benefit Analysis – Page 11]
[Reference: TQR Benefits Checklist]

Customer Benefits and Other Impacts
Discuss the direct or indirect benefits and other impact the project will have on your existing customers or service levels. This section should address specific constituent issues such as greater transparency and accountability.

Employee Impacts
Describe the direct or indirect impact the project will have on your employees. Describe potential efficiencies, FTE changes, and productivity as well as training requirements and other impacts.

Business Process Benefits and Other Impacts
Describe the direct or indirect impact the project will have on the organizational process. Describe how the IT project will improve business processes and create efficiencies.

Technology Infrastructure Benefits and Other Impacts
Discuss the benefits and other impacts the initiative will have on existing technology infrastructure, including hardware, software, network, support staff and other areas.

Cost Benefit Analysis
Discuss costs and benefits associated with the project and the impacts of the project on the costs of on-going operations. Benefits that can be quantified should be so that cost/benefit numbers can be calculated and discussed. Supporting spreadsheets, calculations and assumptions should be included in section 2.
[Reference: TQR CBA Worksheet]

Benefit Realization Measurements

Identify the measurement techniques that will be used to prepare the Benefit Realization report in Phase 5 of the project. Measurements should indicate benefit achievement as directly as possible to the benefit and be identified for each significant benefit driving the business case. Baseline and target values must be included for each measurement with the PRB phase 2 business case submittal.
[Reference: "Making Smart IT Choices" – page 41]

Project Governance ©

Describe the Governance Structure listing steering committees members and other oversight groups.

Project Management ©

Describe how the project will be managed.
[Reference: "Making Smart IT Choices" – Page 44]

Project Staffing

Conceptual Review – Summary: FTE, TLT and other staffing. ©
Budget Request – Staffing Plan
PRB Funding Release – Resource Loaded Staffing & Work Plan
[Reference: "Making Smart IT Choices" – Page 44]

Architecture and Interoperability ©
Explain how the new initiative will affect current IT environment/architecture and discuss any interoperability issues or concerns.
[Reference: TQR Solution Outline Checklist]

Hardware/Network
Discuss new hardware or network requirements. Will new servers be required? If so, where will they reside? Address any network issues such as increased bandwidth or connectivity issues, internal network concerns, or performance issues.

Software/Integration/Database
Determine if any new software or software upgrades are required. Is a new database needed? Will it function properly with existing software versions? Discuss any system interdependencies, and integration points that will need to be maintained or created.

Internet/Security
Describe how the project fits into the existing internet and security infrastructure. Will any changes be required?

Alternatives and Feasibility
Detail viable alternatives and other potential approaches to achieving the business objectives. For each technical solution identified, complete a brief feasibility analysis and add a column to the alternatives summary table.
[Reference: "Making Smart IT Choices" – Page 46]
[Reference: TQR Guidelines – Alternatives Identification and Feasibility Analysis– Pages 10&11]
[Reference: TQR Alternatives Checklist]
[Reference: TQR template – (alternatives summary table – page 5 and Feasibility table – Page 7)]

Preferred Approach
Describe the recommended solution.
[Reference: "Making Smart IT Choices" – Page 39]
[Reference: TQR Completeness checklist]
[Reference: TQR sponsorship checklist]

Key Success Factors ©
Identify the measurements techniques that will be used to determine success

Opposing Arguments and Responses ©
Provide any significant opposing views and discussions that have been raised to date.
[Reference: "Making Smart IT Choices" – Page 47]

Cost Estimates

For Conceptual Review Use Table: ©

Total Costs	% Vendor Costs to Total Costs	Number of FTE's/TLT's	Number of Months of Project
Under $50,000			
$50,000 - $250,000			
$250,000- $500,000			
$500,000 - $1,000,000			
$1,000,000 - $3,000,000			
Over $3 Million			

Also, describe funding sources for project.

For Budget Submittal Request and PRB Funding Release use the cost benefit worksheet Forms identified below and insert.

[Reference: "Making Smart IT Choices" – Page 45]
[Reference: TQR CBA worksheet – read instructions tab, show supporting calculations and assumptions]

Vendor Evaluation

Vendor Background
Provide any relevant background information.

Current Vendor (if applicable)
List and describe incumbent vendor

Selection Process Overview
Describe the selection process

Selection Criteria
Describe the criteria used to compare and evaluate potential vendors

Potential Vendors
List all considered Vendors. If any have been eliminated, list them separately and provide the reasons for their elimination.

Vendor Comparison

Include company history, experience, financial stability, reputation, and prior experience with the county along with RFP or RFI response comparisons.

Vendor Recommendation and Justification
Name the recommended Vendor and state the reasons for this selection over other potential choices.

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1	Summary - Form 1								
2	**Project Name** Project X				Solution Alternative		1 - Recommended		
3	**Submittal Date** Jun-05				Version		1 - Budget Submission		
4	*Input data in white cells only*								
5	Year	2006	2007	2008	2009	2010	2011	2012	TOTAL
6	Project Costs - *Current Request*	0	0	0	0	0	0	0	0
7	Contingency % (See Tab A)	20%	20%	20%	20%	20%	20%	20%	20.00%
8	Contingency $	0	0	0	0	0	0	0	0
9	Project Costs - *Prior Appropriations*	0	0	0	0	0	0	0	0
10	Total Project Costs	0	0	0	0	0	0	0	0
11	Operating Costs	0	0	0	0	0	0	0	0
12	Total Cost Outflows	0	0	0	0	0	0	0	0
13	Benefits	0	0	0	0	0	0	0	0
14	Net Annual Cash Flow	0	0	0	0	0	0	0	
15	Cumulative Cash Flow	0	0	0	0	0	0	0	
16	Net Present Value	0	0	0	0	0	0	0	
17	Identify Revenue Sources								
18	Project								0
19	Project								0
20	Project								0
21	Total Project Revenue	0	0	0	0	0	0	0	0
22	O&M								0

	Cost of Capital	Breakeven Period Non-Discounted	Breakeven Period Discounted	NPV $ (7 yr)	IRR %
	7.00%	No Payback	No Payback	0	NA

* - "Non-Discounted" represents breakeven period for cumulative cash flow (no consideration of time value of money)
* - "Discounted" considers effect of time value of money through incremental Net Present Value.

Summary Form 1 / Project Costs - Form 2 / Project Labor Costs - Form 2A / Ongoing O & M Costs- Form 3

Appendix D. Suggestions for PRB Deliverables

Typical Elements of Phase 1 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Project Plan (Summary Version)	**How the Project will be Managed**	▪ Brief description of the project's: ➢ Charter ➢ Organization and management plan ➢ Communication and project reporting plan ➢ Issue and action item plan ➢ Risk management plan ➢ Quality management plan ➢ Change management plan
	Project Scope	▪ High level overview of: ➢ Project description ➢ What's in scope ➢ What's not in scope
	Summary Schedule	▪ Gantt chart for the entire project with: ➢ Phases ➢ Major deliverables ➢ Major milestones ➢ Dates
	Summary-level Budget	▪ Lifetime by year by account for the entire project with: ➢ Salaries and benefits ➢ Miscellaneous supplies ➢ Consulting ➢ Contract employees ➢ Travel ➢ Training ➢ Printing ➢ OIRM support ➢ Hardware/software ➢ Contingency ➢ Other (specify) ▪ Budget assumptions
	High Level Risk Assessment	▪ Identified High impact risks identified for the project
Possible Contract List	**List of Possible Contracts**	▪ Brief description of each contract with: ➢ Estimated amount of each contract ➢ Estimated time period for each contract

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Work Plan for Phase 2 – Project Development	**One Page Summary Describing the Work of the Next Phase**	▪ High level overview of: ➢ Significant project activities ➢ Approach and techniques ➢ Major deliverables description ➢ Major milestones description ➢ Project dependencies ➢ Budget release request for next phase ➢ Begin and end schedule dates for next phase
	Detailed Schedule for Next Phase	▪ Resource loaded Gantt chart with: ➢ Phases ➢ Tasks ➢ Resources (assigned to tasks) ➢ Deliverables ➢ Milestones ➢ Dates
	Detailed Budget for Next Phase	▪ Budget detail (for each item of the budget) ▪ Spending plan ▪ Budget assumptions

Typical Elements of Phase 2 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Business Case	**One Page Summary**	▪ High level overview of: ➢ Project objectives ➢ Project description ➢ Significant business needs and requirements ➢ Solution recommendations ➢ Summary costs ➢ Significant quantifiable and non-quantifiable ➢ Financial payback ➢ Project schedule start and stop dates
	Typical Elements	See business case web page http://kcweb.metrokc.gov/oirm/tools_templates/business_case_tools.htm
	Business Needs Driving this Project	
	Project Objectives	▪ Strategic goals and objectives ▪ Business goals and objectives ▪ System goals and objectives
	Quantifiable Costs and Benefits for the County	▪ Total development costs by account and year ▪ Quantifiable benefits by year ➢ Hard dollar revenue ➢ Hard dollar reimbursements ➢ Hard dollar cost reductions ➢ Other hard dollar benefits ➢ Soft dollar cost avoidance ➢ Other soft dollar benefits ▪ Operating and maintenance costs by account and year ▪ Payback ➢ Break-even point in years ➢ Net present value ➢ Internal rate of return (IRR) ➢ Return on investment (ROI)
	Quantifiable Benefits for the Public	▪ Hard dollar reimbursements ▪ Hard dollar cost reductions ▪ Other hard dollar benefits ▪ Soft dollar cost avoidance ▪ Other soft dollar benefits
	Cost Benefit Analysis Worksheet	▪ Detailed quantifiable cost and benefit estimates

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
	Non-Quantifiable Benefits	- Project alignment with business strategy - Competitive advantage provided by project for the county or the public - Management information support provided by project - Legislative directive or mandate - Alignment with strategic IT architecture - Other
Project Plan (Detailed Version)	**How the Project will be Managed**	- Description of the project's: - Charter - Organization and management plan - Communication and project reporting plan - Issue and action item plan - Risk management plan - Quality management plan - Change management plan
	Project Scope	- Project description - What's in scope - What's not in scope - Constraints and Assumptions
	Schedule	- Gantt chart for the entire project with: - Phases - Tasks - Resources - Deliverables - Milestones - Dates
	Budget	- Lifetime by year by account for the entire project with: - Salaries and benefits - Miscellaneous supplies - Consulting - Contract employees - Travel - Training - Printing - ITS support - Hardware/software - Contingency - Other (specify) - Annual by account - Spending plan - Budget assumptions

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
	Project Control Plans	- Organization and staffing plan - Risk Management Plan - Issue and action item management plan - Change (scope) management plan - Communication plan - Quality plan - Vendor management plan - Benefit Realization plan - Summary level implementation plan - Summary level architecture plan
Updated Contract List	**Updated List and Description of Contracts**	- Description of each contract with: - Estimated amount of each contract - Estimated time period for each contract - Possible vendors for each contract
Work Plan for Phase 3a - Implementation Planning & Solution Design	**One Page Summary Describing the Work of the Next Phase**	- High level overview of: - Significant project activities - Approach and techniques - Major deliverables description - Major milestones description - Project dependencies - Budget release request for next phase - Begin and end schedule dates for next phase
	Detailed Schedule for Next Phase	- Resource loaded Gantt chart with: - Phases - Tasks - Resources (assigned to tasks) - Deliverables - Milestones - Dates
	Detailed Budget for Next Phase	- Budget detail (for each item of the budget) - Spending plan - Budget assumptions

Typical Elements of Phase 3A PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement

Project Plan
(Updated Version)
	How the Project will be Managed	• Description of the project's:
		  ➢ Charter
		  ➢ Organization and management plan
		  ➢ Communication and project reporting plan
		  ➢ Issue and action item plan
		  ➢ Risk management plan
		  ➢ Quality management plan
		  ➢ Change management plan

	Project Scope	• Project description • What's in scope • What's not in scope • Constraints and Assumptions

	Schedule	• Gantt chart for the entire project with:
		  ➢ Tasks
		  ➢ Resources
		  ➢ Deliverables
		  ➢ Milestones
		  ➢ Dates

	Budget	• Lifetime by year by account for the entire project with:
		  ➢ Salaries and benefits
		  ➢ Miscellaneous supplies
		  ➢ Consulting
		  ➢ Contract employees
		  ➢ Travel
		  ➢ Training
		  ➢ Printing
		  ➢ ITS support
		  ➢ Hardware/software
		  ➢ Contingency
		  ➢ Other (specify)
		• Annual by account
		• Spending plan
		• Budget assumptions

➢ **Detailed Implementation Plan**	**Project Implementation Plan**	• Testing plan • Training plan (for end-users, operations, others) • Documentation plan • Transition to production plan • Legacy system decommission plan
➢ **Staffing Plan**	**Project Staffing Plan**	• Project staffing needs • Required skill sets • Approach to obtain required skill sets • Resource assignments • Team training plans

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PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Architecture Plan	**Applications Architecture**	- Major applications technology - Integration of major applications technology approach - Interface technology - Conversion technology
	Database Architecture	- Database product(s) - Inter-relationship of existing and new databases - Data conversion approach
	Platform Architecture	- Hardware and operating system(s) of client applications - File and print services - Hardware and operating system(s) of application servers - Hardware and operating system(s) of database servers
	Network Architecture	- Network technologies - Network concerns
	New Technologies	Description of new technologies
Work Plan for Phase 3b - Solution Development and Implementation	**One Page Summary Describing the Work of the Next Phase**	- High level overview of: ➢ Significant project activities ➢ Approach and techniques ➢ Major deliverables description ➢ Major milestones description ➢ Project dependencies ➢ Budget release request for next phase ➢ Begin and end schedule dates for next phase
	Detailed Schedule for Next Phase	- Resource loaded Gantt chart with: ➢ Phases ➢ Tasks ➢ Resources (assigned to tasks) ➢ Deliverables ➢ Milestones ➢ Dates
	Detailed Budget for Next Phase	- Budget detail (for each item of the budget) - Spending plan - Budget assumptions

Typical Elements of Phase 3B PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Operations and Maintenance Plan	**Operational Environment Description**	▪ Operational environment business work flow ▪ System work flow ▪ Legacy system shut-down
➢ **Operations Staffing Plan**	**Staffing Plan**	▪ Computer room staff support ▪ Server staff support ▪ Network staff support ▪ Programming staff support ▪ User staff support
➢ **Support Agreements**	**Business and System Support Agreements**	▪ Vendor agreements ▪ Agreements with agencies and groups within King County
➢ **Teaming Agreements**	**Cross-Agency Teaming Agreements**	▪ Agreements with other agency staff available to support/operate the system
➢ **Maintenance Contracts with Vendors**	**Maintenance Contracts**	▪ Vendor agreements
➢ **Operations and Maintenance Budget**	**Budget**	▪ 1st year operations and maintenance budget ▪ Full year operations and maintenance budget ▪ Special budget considerations in future years
Work Plan for Phase 5 - Measurement	**One Page Summary Describing the Work of the Next Phase to Develop Quantitative Measures and to Measure Value Achieved by the Project**	▪ High level overview of: ➢ Significant project activities ➢ Approach and techniques ➢ Major deliverables description ➢ Major milestones description ➢ Project dependencies ➢ Begin and end schedule dates for next phase
	Detailed Schedule for Next Phase	▪ Resource loaded Gantt chart with: ➢ Phases ➢ Tasks ➢ Resources (assigned to tasks) ➢ Deliverables ➢ Milestones ➢ Dates
	Detailed Budget for Next Phase	▪ Budget detail (for each item of the budget) ▪ Spending plan ▪ Budget assumptions

Typical Elements of Phase 5 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Value Received	**Value Received After One Year of Operation**	▪ Financial value ➢ Quantifiable value to the county ➢ Quantifiable value to the public ▪ Value from non-quantifiable benefits
Close-Out Report	**Project Close-Out Report**	▪ Final project summary ▪ Lessons Learned ▪ Record Retention ▪ Deliverables turn-over

Appendix E. Project Close-out

Available on-line at **http://kcweb/oirm/projects/ITPM/ITPM_Web_Folders/PMM-Required_Documents/Dept-ProjectName-ProjectCloseOutReport.doc**

Procedures

When an information technology project is complete, the project manager notifies the Project Review Board (PRB) by noting the project is completed on the Project Monthly Monitoring Report. At this point, no further monthly monitoring is required. Within one month, the PM completes and submits the IT project close-out report to the PRB once all required signatures have been secured. There are several distinct sections included in the close-out report:

Cover / Signature Page
- This page verifies that close out activities have been performed, reviewed, and signed-off by the project manager, sponsor, and department director and is included on the cover page of the document.

Final Project Summary
- Provides a summary review of overall project performance related to Scope, Schedule, Budget and Benefits .
- Details include summaries of actual project expenditures by major account and by year and any outstanding expenditures that have been incurred or committed but have not yet 'hit the books'. No additional charges should be incurred against the project.

Lessons Learned
- Identifying what worked well, and what didn't, is a best practice that should be performed on every project. Having the project team reflect upon the project helps them to identify and retain practices that worked well, and discard or modify those that did not. While future projects will not be identical to the one just completed, many of the thoughts, concepts and practices will apply.
- A worksheet is provided to list specific lessons learned.
- The worksheet includes space for recommending best practices for other projects to utilize and potentially incorporate into the county's project management methodology.

IT Project Record Retention
- The record retention form lists the records that have been identified and retained to support potential future information requests about the project. In accordance with the county's record retention policy, these records will be maintained for 6 years and then either archived (if the project has significant archival interest) or destroyed. The

primary reason for retaining records is to support future public disclosure, audit, or legal requests.

IT Project Deliverables Turnover Acceptance Sheet
- This Section lists the deliverables that the project has created, the operating group that they were turned over to, and the signatures from those accepting the deliverables. The new owners are now responsible for any maintenance or upkeep of those deliverables.

The IT project close-out report requires signatures in several of these sections. Final submission must include signatures which can be submitted or scanned and submitted electronically.

When the project manager has submitted this documentation to the PRB, there should no longer be any work performed on the project. No additional expenses should be charged to the project, other than those listed in the final project summary.

Post project tasks that are not considered part of the project and are performed outside of the project include:
- Measuring the benefits realized from the project in the benefit realization report. Submitting this report is the responsibility of the project sponsor and a target submission date is included on the project close-out checklist.
- Attending the PRB phase 5 review.

Final Project Summary

Project Description:

Describe project and list goals and objectives from project plan

Project Results:

Identify significant project accomplishments and deliverables; describe in bullet format

Project Variances:

Project variance summary table:	Yes or No?
Was full **Scope** delivered per approved project plans?	
Was project delivered within approved **Schedule?**	
Was project delivered within approved **Budget?**	

Scope –

Explain differences between approved project scope and actual accomplishments.

Briefly describe any approved scope changes and their impact on expected benefits.

Schedule –

List each major deliverable and project milestone scheduled from project plan and actual start and finish dates; briefly explain major differences and document status of those not completed.

Briefly describe any approved schedule changes, when the change was approved, reason for the change, and impact of the change on authorized schedule

Example:	*Plan Start*	*Actual Plan Start*	*Actual Finish*	*Finish*	*Status*
Major deliverables/date	*date*	*date*	*date*		*complete*
phase milestones	*date*	*date*	*date*	*date*	*not undertaken*

Budget –

Identify project costs by budget, actual and variance format from project plan; briefly explain major differences (if over-budget what was financing source, if under-budget what is planned for excess)

Briefly describe any approved budget changes, when the change was approved, reason for the change, and impact of the change on authorized budget

Example:

Category	Capital Budget	Actuals	Variance	Grant Budget	Actuals	Variance	Operating Budget	Actuals	Variance
Labor	$0	$0	$0	$0	$0	$0	$0	$0	$0
Contract Services	$0	$0	$0	$0	$0	$0	$0	$0	$0
Hardware/Software	$0	$0	$0	$0	$0	$0	$0	$0	$0
Miscellaneous	$0	$0	$0	$0	$0	$0	$0	$0	$0
Contingency	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total	$0	$0	$0	$0	$0	$0	$0	$0	$0

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<Project Name>

Project Expenses

Report Date: **13-Oct-06**

Project _____

Project #
Fund
Cost Center

		FY	FY	FY	FY	FY	FY	LIFETIME	
PROJECT COSTS	**Accounts**	**200X**	**200X**	**200X**	**200X**	**200X**	**200X**	**TOTAL**	**COMMENTS**
Salaries and Benefits	51xxx	0	0	0	0	0	0	0	
Miscellaneous Supplies	52290	0	0	0	0	0	0	0	
Consulting	53104	0	0	0	0	0	0	0	
Contract Employees	53105	0	0	0	0	0	0	0	
Travel	53310	0	0	0	0	0	0	0	
Printing	53806	0	0	0	0	0	0	0	
Training	53810	0	0	0	0	0	0	0	
ITS Support	55xxx	0	0	0	0	0	0	0	
Hardware/Software	56740	0	0	0	0	0	0	0	
PAO									
Miscellaneous		0	0	0	0	0	0	0	
COSTS BEFORE CONTINGENCY		0	0	0	0	0	0	0	
Contingency	59899	0	0	0	0	0	0	0	
TOTAL PROJECT COSTS		0	0	0	0	0	0	0	

Total Pending Payments   **0**

Note: pending amounts should be included in summary project costs above

Total Project Appropriations   0

Unused Project Funds   0

Describe disposition of any remaining funds:

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Benefit Realization:

Summary of Expected Benefits:

Changes to expected benefits from last authorized version:

Planned Benefit Realization report delivery to PRB (Month/Year): (Report delivery should be as soon as benefits have been fully realized, within 1 year of implementation)	
Person(s) responsible for delivering report (name & position): (If multiple people, identify the benefit area that each will address. Project sponsors are ultimately responsible for benefit realization)	

Benefit Measurement Details (should correspond to benefit measurement worksheet)

Type (**Cost savings** or **other** Cost Savings metrics are also tracked through budget actions)	**Description**	**Metric**	**Baseline**	**Target**

Lessons Learned

Guidelines

Depending on the approach to documenting Lessons Learned, this can be an uncomfortable or an enjoyable walk through memory lane. Focus on making this a fun experience because team members will be more apt to participate in a collaborative manner rather than defensively.

Who Should Participate

- All team members (IT and client) and Project Manager
- Project Sponsor (if this would not inhibit candid discussion)

When Should This Be Done

- Soon after the project work has been completed and team members are still available to meet
- Lessons Learned can also be documented at strategic points throughout the project, such as at the end of a project phase, especially if the team composition will be changing

How Should This Be Done

There are many approaches one could take:

- Written Feedback: Distribute the Lessons Learned Worksheet to team members and request their individual written responses

  This reduces the opportunity for Lessons Learned to be a group learning experience, and requires the PM to synthesize comments from the entire project team into one document

- Facilitated Meeting Select a facilitator and a recorder from outside the project team to help manage and document the discussion of lessons learned

  This approach allows everyone on the project team to participate equally. A good facilitator will keep the discussion focused and moving, so it does not end up being a "gripe" session

- Informal Meeting Project Manager loosely facilitates a group discussion of project lessons learned in an informal setting and takes notes to record these lessons

  This approach is more casual and may be more fun, but does not allow the Project Manager to fully participate since the PM must facilitate and record the conversation

Lessons Learned Worksheet

Instructions:
1. For each area identified in the Lessons Learned Worksheet, think back on the project to determine if anything was learned that could be of value to the project team or to future projects. Add and remove sections as appropriate for your project.

2. Summarize key lessons learned in 1 paragraph or less

3. Identify any best practices recommended for inclusion in project management methodology or other countywide methodologies

Worksheet:

Project Area	Lessons Learned
Project Planning	1. 2.
Budget Management	1. 2.
Scope Management	1. 2.
Schedule Management	1. 2.
Issues Management	1. 2.
Risk Management	1. 2.
Change Management	1. 2.
Quality Management	1. 2.
Communications	1. 2.
Team Management	1. 2.
Project Close-out	1. 2.
Requirements	1. 2.

Design	1.
	2.
Development	1.
	2.
Implementation	1.
	2.
Support	1.
	2.
Work Effort Estimating	1.
	2.
Transition to Production	1.
	2.
Testing	1.
	2.
Other	1.
	2.

Lessons Learned Summary –
   Identify significant lessons learned during the project; list in bullet and narrative format

Recommended best practices for countywide consideration –
   Describe project practices that worked particularly well and could be utilized by other projects throughout the county to improve their performance. Describe when/how this practice fits within the Project Management Methodology.

IT Project Record Retention

Goal of Project Record Retention

King County's record retention policy requires that all IT projects must retain 'key' records for at least 6 years after an IT project has completed. Key records include those records that:

- Enable the essence of overall project activities and practices to be ascertained

- Substantiate or reflect major decisions or turning points of the project

- Demonstrate project diligence, process, and/or results

For the purposes of IT projects, a record is any document that has reached its final version and will not be changed. The intent of selecting only 'key' records is so that future reviewers will be able to quickly understand what happened on the project without being distracted by less-important details or clutter. The project manager is in the best position to identify which records are critical to understanding the project and which records add clutter by duplicating key information or by sharing less important decisions, activities, or processes.

It is recommended that records to be retained are identified and stored appropriately in the project's active / working files throughout the life of the project (see guidelines below). This will:

- Improve the quality of records selected for retention

- Save time at the end of projects related to storing records

- Improve the ability for oversight review and communication during a project

Retained project records support future public disclosure requests, legal requests, or audit requirements pertaining to the use of grant or public funds. Retained project records are stored until the completion of the retention period (six years). Electronic records are stored in appropriate network storage media (typically LAN folders) determined by each department/agency. Paper records are sent to the records center. At the end of the retention period and if there are no current holds on the records, they are either destroyed or archived as determined by the county's archivist. Several non-project files (Legal, Fiscal, Grant) may need to retain project related records under differing retention requirements (see non-project record retention section of this document).

Retention Procedures

The following steps should be taken to ensure that project records are retained appropriately:

1. Once all project activities are complete, identify all records to be retained. Use the Guidelines below to aid in the selection process. If the project has been utilizing a 'final' foldering system, then most key records have already been identified during the project (see guidelines below for elaboration on use of this folder/process).

2. Collect all selected records into a single location

   a. Paper records

      i. If possible, scan all records into electronic format and include with electronic records.

      ii. If not possible, collect all records into storage boxes (see records center information for appropriate boxing) and organize in the order listed on the index. Print the index and include as the first record in the first box (if multiple boxes). Label the boxes appropriately (per records center direction). Place the CD / DVD of all electronic records as the second 'record' in the box. The CD / DVD is only a copy of the electronic records **– stored here as a potential**

> convenience. The primary record is maintained on appropriate network storage medium. CD's and DVD's may not be readable for the entire life of the retention period.

   b.   Electronic records

      i.   Utilize the standard project file foldering structure provided as part of the Project Management Methodology (PMM) as a template for organizing project documentation.

(**Hint:** Using this structure throughout the life of the project and moving key documents to the 'final' folder as they are finalized will make this process much easier. In addition, it should facilitate the location of critical records during the project as well)

     ii.   Move all folders and records onto a permanent LAN directory (designated for records in your agency / department), creating a project folder to hold all of the records. Include the list of 'records to retain' in the highest level directory.

    iii.   Copy all records onto a CD or DVD. Provide a courtesy copy of the CD (with printed list) to the project's sponsor and to the PRB. Place an additional copy into the paper records storage box as a courtesy to future reviewers.

3.   List all records that are being retained. Use the 'list of retained records' template and store with records (electronically, and paper if there are paper records).

4.   Complete a records transmittal form (available at the records center intranet site) and send the form along with any boxed records to the records center. Note, utilize departmental procedures on how this is done. Different departments may utilize project managers, project assistants or office managers for this function. The records center can be contacted directly if help is needed when filling out the transmittal form.

5.   Non retained records should be disposed of appropriately.

Guidelines for selecting IT Project Records to Retain

Records selected for retention should:

- Reflect the major (not minor) work that has occurred on the project

- Enable the essence of overall project activities and practices to be ascertained

- Substantiate or reflect major decisions or turning points on the project

- Not include drafts, preliminary copies or reference material as they clutter the file

- Pick the electronic version of a record when there are both paper and electronic copies. The only exception to this rule is if the electronic version has been scanned/imaged on an uncertified system.

The intent of selecting records is that future reviewers will be able to quickly understand what happened on the project, without being distracted by less-important details or clutter.

Selecting the appropriate records that should be retained for any IT project requires thoughtful review. If project files are un-organized, this can be a daunting task. Ideally, project managers will keep files organized effectively so that location and identification of key records is quick and easy.   Several actions can help with keeping records organized:

- Utilize the recommended file foldering structure at the start of the project. While this structure can and should grow differently with each project, utilizing similar high level organization should make it easier to organize and locate files

- Utilize a 'final record' folder during the life of a project (this is part of the standard project file foldering structure) As key documents are moved from draft (working) to final, place the final record into the appropriate final records folder. Not all 'final' records should be moved into this folder, only those that meet the PM's interpretation of a 'key' record that should be retained should be moved.

  o Utilize a draft/final methodology in dealing with documents/records (terminology: Draft = document, Final = record). It is a good practice to include footers on all documents that indicate the DRAFT status of that document. Only when the document is finalized (and turned into a record), should DRAFT be removed.

  o Label all documents as draft to avoid misunderstandings within project teams, with project oversight / stakeholders, and with any public/legal inquiries.

  o Indicate draft as part of file name and as part of document (header/footer or watermarks)

To help the project manager, the following checklist identifies many of the records that may meet the criteria for retention. It is still up to the project manager to determine, based on the project just completed, which records to retain.

Remember that it is the final version of a document (not some or all of the drafts) that should be retained as a record. For some of the living documents in a project's file, it may be important to retain several versions of the document to support decisions made at different points in time (meaning several records are created). For example, a snapshot of the project schedule prior to a major scope change may be helpful in supporting approval of a scope change.

Potential Records to Retain for Implementation Type Projects
Project Initiation

☐ Business Case
• Conceptual proposal
• Budget request
    o Cost benefit worksheet
    o Technology Qualifications Report

☐ RFI or RFQ responses or analysis
☐ Project Charter (if separate from Project Plan)
☐ Oversight self-rating
☐ Project Manager Assignment Worksheet
☐ Work Breakdown Structure

Potential Records to Retain for Implementation Type Projects
Project Planning

☐ Project Plan: (typically just use final version unless a prior version of a particular section helps to explain the project)
• Summary
   o Charter
• Detailed
   o Scope & Schedule mgmt plan
   o Cost mgmt plan
   o Organization and Staffing plan
   o Communications plan
   o Issue and Action mgmt plan
   o Quality mgmt plan
   o Change mgmt plan
   o Vendor mgmt plan
   o Benefit realization plan
• Updated
   o Architecture plan
   o Implementation plan
   o Training and organizational change plan
• Final
   o Operations and Maintenance plan

☐ Project Charter (if separate from Project Plan)
☐ Oversight self-rating
☐ Project Manager Assignment Worksheet
☐ Work Breakdown Structure
Project Execution
☐ Requirements
☐ Updated Business Case • Benefit Measurement Worksheet
☐ RFP & Vendor Responses, Scoring & selection criteria (see note)*
☐ Final Contract & addendums (see note)*
☐ Business Process Analysis / Re-design
☐ Detailed alternatives analysis
☐ Final Design Documents
☐ Requirements traceability Matrix
☐ Test results
☐ Implementation Readiness Checklist
Project Control
☐ Issue and Action Item Log (final)
☐ Change Control Log (final)

Potential Records to Retain for Implementation Type Projects
☐ Risk Control Log (final)
☐ Project Status Reports
☐ Quality Review Log & results (final)
☐ Project Schedule (final & any important versions)
☐ Project Budget worksheet (final & any important versions)

☐ Status Meeting Notes
  • Team Meeting Notes
  • Sponsor/Steering Committee Notes

Project Close-out

☐ Project Close-out Report
  • Final Project Summary
  • Lessons Learned Worksheet
  • List of Retained Records
  • IT Project Deliverables Turnover Acceptance Sheet
  • Project Summary Spending Report

General
☐ Project Review Board (PRB) records
☐ Additional funding appropriation records
☐ Formal Project Presentations
☐ E-mail – if it records major project decisions or direction
* Of Note:
RFP's, RFQ's, and final contracts/addendums are subject to legal record requirements, with the original (copy of record) retained in the legal file. Copies of these records may be retained as part of the project file if desired, but it is not necessary
Grant and Fiscal records will also be subject to office files in those areas, with copies optional in the project file

Another goal of the record retention process is to effectively utilize the project manager's time, especially when considering that many project records will not be looked at again. After reading these guidelines, if in doubt about whether to include a specific record, include it and move on. Including a little bit of clutter within the records is preferable to spending too much time trying to make the records perfect.

Non-Project Record Retention Needs

Project records may be subject to non-project record retention requirements. Other areas within your agency/department may need records from the project to comply with grant, legal and fiscal requirements. Contact the following process owners to determine these requirements:

Grant Funded Projects:

- Work with your Grant Officer to determine what records they will need for reporting. Generally, Grant Officers will need these records:
    - o Annual/program/project/expenditure reports relating to grant funds
    - o Vouchers/receipts
    - o Statistical documentation

Legal:

- Purchasing keeps contracts, RFP, bid and evaluation records. For unsuccessful RFP and bids, retain evaluation records not sent to Purchasing for 3 years. The successful RFP and bids are retained by Purchasing 6 years after completion of purchase or fulfillment of contract. Contact Purchasing if you have a question regarding RFI and RFQ records.

- Public Disclosure: Contact the Public Disclosure Officer if you have questions regarding open requests.

- Legal Hold: Holds are placed due to litigation, audits, etc. The PAO will contact record holders if a hold is to be placed on the records. It is advisable to check the hold status before purging files.

Fiscal:

- Contact the Budget Officer for your agency for retention of budget related records.

- Accounts Payable usually keeps the original voucher/receipts. Grants often require longer retention periods for voucher/receipts.

- For other financial and audit requirements contact the finance officer for your agency.

If you need further assistance with questions regarding records retention, please contact Records Management.

http://kcweb.metrokc.gov/archives/rc.aspx

Please call 206-296-1572 to speak to a records analyst.

List of Retained Records

Instructions:
1. Review the project document retention procedures and guidelines
2. Create entries for all retained documents below. Alternatively, create a directory/file listing showing all of the details for each electronic document and insert below for soft-copy documents.
3. Store this list with the retained documents

Soft-Copy Documents

File Name	Type of File	Description	Project Phase

Hard-Copy Documents

Document Title	Description	Project Phase

IT Project Deliverables Turnover Acceptance Sheet

Instructions:
1. *List all deliverables that are given to an operational Group to own and support as a result of this project. Deliverables can include:*
   - *Documents*
     - *Design*
     - *Training guides*
     - *Operations and maintenance manuals*
     - *Outstanding issues*
     - *List of future enhancements*
     - *Post implementation reviews / results / action items*
     - *Other*
   - *Software Programs*
   - *Hardware*
   - *Test environments*
   - *Other*
2. *List significant responsibilities associated with a deliverable assigned to staff and organizations as a result of production transition process*
3. *Identify new owning organization*
4. *Responsible manager to sign as acceptance of deliverable and related responsibilities*

Deliverables Acceptance List

#	Deliverable	Significant Responsibilities	Owner	Acceptance Signature (of new owner)
1				
2				
3				
4				
5				
6				

Records that are turned over to operational staff should follow appropriate record retention policies for those documents. Contact a records analyst if you have any questions about which policies apply.

Appendix F. IT Equipment Replacement

IT Equipment Replacement – PRB Review Procedures
March 11, 2004

Each IT equipment replacement plan or project is required to follow the PRB Process for funding releases and project monthly monitoring. The CIO provides a review on behalf of the Project Review Board. If the CIO determines that a plan or project has issues or concerns, then it will be scheduled for a review by the Project Review Board.

The following is a list of the procedures used to complete the review and approval of agency IT equipment replacement funding release requests through the Project Review Board (PRB).

What triggers this process?

Each agency is expected to set up and maintain an IT equipment replacement plan. The plan provides support for managing assets and for planning to set aside funds to replace or procure IT equipment as part of the budget process.

Agencies are required to follow the PRB Process for requesting fund releases for IT equipment replacement outlined below.

Steps to PRB Release of Funds for IT Equipment Replacement Plans

1. The agency completes the IT Equipment Replacement Funding Release Form to request a funding release from the Project Review Board and the department director approves it.

2. The completed, approved form is forwarded to the Project Review Oversight Manager.

3. The form will be reviewed for completeness and additional research with agency will be done to ensure form is complete.

4. A list of IT equipment replacement funding releases, approved by the Chief Information Officer, will be provided to the board members at the next PRB meeting.

Important Note: The phased funding release request process and project monthly monitoring apply only to IT projects, not to equipment replacement funding release requests.

References:

IT Equipment Replacement Web page (Guidelines and Template)

IT Equipment Replacement Funding Release Form

IT Equipment Replacement Funding Release Form

This form is used for requesting funding releases by the Project Review Board for IT Equipment Replacement.

Complete requested information below with signature:

Agency Department/Division/Section Name	
Agency Contact/Representative	
Contact Telephone No.	
Department Director Signature [This signature attests that the department director has reviewed and approved the agency equipment replacement plan, business case and amount requested for funding release.] Email approval is accepted.	
Signature Date	
Amount Requested	$

Provide answers to the following questions:

Is there an equipment replacement plan and business case to support the replacement approach documented in the plan? If no, explain.
Is this funding release, and the equipment it replaces, addressed within your equipment replacement plan? If no, explain.
Is there any cross-agency impact related to the equipment being replaced? If yes, explain.
Does equipment meet countywide IT standards?
Does equipment align to agency technology plan?
Are your disposal plans for equipment being replaced detailed in the plan? If not, document separately.

Appendix G. Project Monthly Monitoring

OIRM – Project Review Board
Project Monthly Monitoring Instructions – January 2006 Revision

<u>Revisions to Form</u>

The updated Monthly Monitoring Report includes:

- Project profile, indication of changes to scope, schedule and budget, overall self-rating and financial status, as requested in the previous version

- Additional information to provide more complete project status reporting:

    o Reason for change if there is scope, budget or schedule change

    o Description of impacts if there is scope, budget or schedule change, including assessment if the impact is low, medium, high

    o Corrective Action Plan information for red and yellow self-rating

    o Operations and Grant $$ the project is spending in addition to capital $$

    o Updated schedule information

Detailed information on completing the form and when it is due is provided in the paragraphs below.

<u>Instructions for completing the revised "*Project Monthly Monitoring Report*"</u>

- Detail description of required information on the form is available in the Example, pages D-1 and D-2.

- Complete the form.

- Please save the form under the following naming convention: MM_YY_Department_ProjectName.doc (or pdf). For example: 01_06_DNRP_ConstituentRelationshipMgmt.doc. MM is the month reporting on.

- Have the form approved via e-mail or signed by the Department Director. If not approved via e-mail, but signed, please scan the signed form (pdf format is preferred).

- E-mail the form and the approval (approval e-mail or scanned signed form) to the Project Oversight Manager.

- If scanning is not available, please inter-office the signed form.

- The form must be received **by the first working day of each month.** Late arrivals will not be recorded until the following month.
☐
- The OIRM website is updated with the instructions, example and new form.

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King County
Technology Governance

Project Monthly Monitoring Report

Project Name: **Project Manager:**   **Project PRB Phase:**

Month Reporting on *: ****   **Completed on (date):**

Information provided to Sponsor and Steering Committee on (date):

Department: **Director Signature:** _____

☐ Check box if email from Department Director is attached [in lieu of signature].

Change to Project Plan: Scope, Schedule or Budget?   ☐ Yes   ☐ No
 Reason for Change:

Description of Change Impact	Scope Impact	Schedule Impact	Budget Impact
	☐ **Increase** ☐ **Decrease** ☐ **No impact**	☐ **Increase** ☐ **Decrease** ☐ **No impact**	☒ **Increase** ☐ **Decrease** ☐ **No impact**
Steering Committee Approved Change?	☐ **Yes** ☐ **No** ☐ **Pending**		

Overall Self-Rating (Please check one):
☐ **Green** – **Project on track within scope, schedule, budget with risks and issues being managed.**
☐ **Yellow** – **Warning, consider corrective action or monitor previous corrective action** = Project has significant risks/issues with scope, schedule, or budget – requiring significant mitigation activities
☐ **Red** - **Problem, immediate corrective action required** = Project has critical risks/issues with scope, schedule, or budget - likely to prevent the successful completion of project.
☐ **Teal** - Project has been placed on hold; project activity and spending are on hold.
☐ **Lavender** - Project completed, activity & spending have ended.
☐ **Black** - Project removed or canceled.

Description of Risks/Issues:

For Yellow/Red Self-Rating:
  Is Corrective Action Plan Activated?   ☐ Yes ☐ No ☐ In Development ☐ Steering Committee Approved

Financial Status as of Date: _____				
Funding Source(s) for the Project	Capital	Grant	Operating	Total
Life-to-Date Appropriated Budget: $				
Life-to-Date Expenditures: $				
Amounts Committed /Obligated: $				
Budget Remaining: $ [LTD Appropriated Budget – LTD Expenditures – Unused Contingency]				
Estimated Amount to Complete: $				
Schedule Status				
Approved Timeline: [From budget or mid-year approval request]	**Start Date:**		**Complete Date:**	
Actual Start Date: [Work start after project approval: Phase I Start]	**Projected Complete Date:** [Based on current status and prior to Phase V O&M/benefit measurement]			

---

*The month reporting on is the last complete month that has occurred. (i.e. For reports due on June 1, 2006, the month reporting on is May 2006.

Definitions

General: This form defaults to having protection turned on. This enables you to tab to each data entry field and/or click on the check boxes to or to mark them. To unprotect the document, toggle the 'protect form' field on the 'forms' toolbar.

Heading Fields

Project PRB Phase: Include one of PRB Phases: I, II, IIIa, IIIb, IV, V

Month Reporting on*: The month reporting on should be the last complete month that has occurred. (i.e. For reports due on June 1, 2005, the month reporting on is May 2005.)

Change Information

Change to Project Plan: Scope, Schedule, Budget?

Reason for Change: Describe reasons for changing the project plan.
Description of Change Impact: Describe the impacts of the change including degree (low, medium, high) of impacts and check the appropriate column box as Increase, Decrease or No Impact
Steering Committee Approved Change? Y/N/Pending – if project does not have a steering committee, then sponsor approval should be indicated.

Overall Self-Rating: Check one.

Description of Risks/Issues: Describe risks, issues or other project relevant information you wish to communicate.

For Yellow/Red Self-Rating:

Is Corrective Action Plan Activated? If the project reports red status, a corrective action plan will be requested by PRB. If the project reports yellow status, a corrective action plan may be requested by PRB if the project remains in yellow status for over two months. If the project remains in yellow status for over two months, a more detailed update or briefing to PRB will be requested.

Financial Status – Financial status split by funding source (Capital, Operating or Grant) and totaled. Capital funds are those acquired through the annual capital budgeting process or through interim omnibus legislation. Operating funds are those project activities and/or acquisitions funded from operating budgets (such as employee's paid out of operating budgets but working on IT Projects). Grant funds are those approved by the appropriate granting body.

as-of Date:
Most recent month that Project's financial information is included in the county's financial systems

Life to Date Appropriated Budget – The total $'s appropriated to-date for the project. This includes Capital funds (appropriated through the capital budgeting process), Grant Funds (approved through a sanctioned granting authority) and Operating Funds (approved as part of an annual operating fund and included in the performance expectations of the appropriate operating units).

Life to date Expenditures – Matches exactly to current amounts in King County's financial systems (either IBIS or ORACLE) for capital amounts, Portion of operating funds utilized by project, and the grant expenses accumulated for re-imbursement

Amounts Committed/Obligated – Budget dollars that have been committed/obligated through contracts (or other means) but have not yet been paid. It does not include regular salaries for employees.

Budget Remaining – LTD appropriated budget minus LTD expenditures minus unused contingency. Unused contingency are project funds designated as contingency funds and not yet released by the PRB. (It does not include amounts committed/obligated.)

Estimated Expenditures to Complete the Project - Estimated remaining project expenditures. This number anticipates all remaining project expenses, including contingency, which will be incurred to complete the project and are not included in life-to-date expenditures already. It represents the appropriated budget and any additional appropriations that would be required.

Schedule Status

Approved Timeline:
Start Date - This date is taken from the project's budget submittal or mid-year approval documentation (or grant request, or operating plan) and is not changed once in place – even if the project's baseline is updated. It does not include project justification.

Complete Date **- This date is taken from the project's budget submittal or mid-year approval documentation (or grant request, or operating plan) <u>and is not changed once in place</u> – even if the project's baseline is updated. It identifies the last planned day of work related to PRB phase 3b activities. It does not include O&M or Benefit Measurement activities.**

Actual Start Date **– This is the first date following budget approval that the project is worked on. This is the first PRB phase 1 activity. It does not include budget request preparation activities.**

Projected Complete Date **- This date identifies the last planned day of work related to PRB phase 3b activities based on current schedule projections. It does not include O&M or Benefit Measurement activities.**

Appendix H. Quality Assurance

Quality Assurance Methodology Overview

Background
The Project Review Board decided, in its February 19, 2003 meeting, that it would "direct Quality Assurance Reviews and Project Audits on information technology projects on an as-needed basis. Funding for this activity will come from project contingency budgets."

The Quality Assurance Methodology was developed to guide the Quality Assurance Reviews.

Triggers for PRB to Initiate a QA Review
- The project has self-rated itself yellow, and is having trouble developing a suitable corrective action plan.
- The project has self-rated itself red.
- The project exhibits one or more of the following project warning signs
    - Lack of evidence of good project management
    - Critical milestone is missed, or is going to be missed
    - Budget is being spent faster than projected
    - Project scope is changing
    - High priority, critical issues are not being resolved
    - Project has no risks identified

Elements of a QA Review
- Project deliverables reviewed for completeness and appropriate project management methods, processes and documentation
- Project governance reviewed for flaws in structure, membership, or processes
- Scope, schedule, and budget reviewed for flaws, such as:
    - Are changes documented,
    - Is there a budget contingency and is it being used
    - Are required dates being met
- Solution development process and products checked for flaws – Example:
    - End users are testing the software and determine it doesn't meet the documented requirements. The project will need to go back and determine where it got off track and develop a corrective action plan to get it back on track to produce software that addresses the requirements.
- Strategy, approach, and plan reviewed for flaws – Example:
    - The project has selected a commercial software package to install and has contracted with the vendor to make 120 customizations to meet their current business practices. The vendor is three months late delivering the software and has no plan for when they will complete. It appears the strategy to use a commercial software package that needs 120 customizations was a fatal flaw.

QA Findings and Recommendations Report to PRB
- Findings of discrepancies in completeness, deliverables, project governance, scope, schedule, budget, solution development, strategy, approach, or plan that are causing the project problems.
- Recommendations for corrective action from the QA reviewer for the PRB's consideration in directing the project's course of action based on the findings.

Project Warning Signs

Project Warning Signs	Areas to Probe
Lack of evidence of good project management	• Has a project manager been assigned? Is the project manager scheduled and budgeted in the project? • Does the project manager have authority to support project responsibilities? • Does a realistic project plan exist? Are milestones clearly defined and tracked? Is there sponsor approval on the project plan and scope? • Is there an adequate communication plan and an issue and action item plan in place and are they effective? • Is there a quality assurance plan, risk management plan, and a change management plan in place? Are they kept updated? • Are staff and oversight roles and responsibilities clearly identified?
Critical milestone is missed, or is going to be missed	• What is the effect on later milestones, or other projects? Have these effects been communicated and incorporated into the dependent projects? • Are labor resources significantly over-allocated? How will this be resolved? Are additional staff resources needed for any schedule changes? • What are the political ramifications of missing critical milestones? • What is the cost to the project? • What caused this and what will be done to prevent recurrence?
Budget is being spent faster than projected	• Is the project tracking planned expenditures and obligations? Are accounting tools or methods adequate? • What percent of the project work has been completed? Is the project ahead or behind schedule? Are there adequate resources to complete the work? • What percent of the labor budget (operating and capital) has been spent? • Is the work completed aligned with the budget spent? • Why are expenditures greater than planned? • What must be done to the scope and/or schedule to balance the remaining work with the remaining budget?
Project scope is changing	• What impact does this have on upcoming critical milestones and the project's critical path? • How does this increase or decrease the project budget? • How does this change the agreed upon final deliverables? • How does this impact project staffing and task assignments? • Is the scope change documented and the approval of scope change documented and signed by the sponsor or steering committee? Is there documented assurance that funds are available for the scope change?

Project Warning Signs (continued)

High priority, critical issues are not being resolved	• What effect does this have on upcoming scheduled work?
	• If this is causing or will cause schedule delays, what is the cost to the project?
	• How is project staff productivity being affected?
	• How is project scope being affected?
	• Is there a deadline for when the critical issues must be resolved before they impact the project schedule or budget?
	• What specifically needs to happen? Who needs to be involved in resolving the critical issue?
Project has no risks identified	• What could adversely impact the project's schedule so that it could not complete as planned?
	• What could adversely impact the project's budget so that it is exhausted before the project has completed successfully?
	• What could adversely impact the project's scope so that the final deliverables are not consistent with the agreed upon scope?